

REQUEST FOR PROPOSALS



Energy Efficient Retrofits of K-12 Schools (Third Round)

Alabama Department of Economic and Community Affairs

Energy Division

State Energy Program

American Recovery and Reinvestment Act of 2009

AMENDMENT 001:

**The purpose of this amendment is to extend the deadline
for submissions to May 27, 2011.**

Issue Date: April 8, 2011

Proposal Due Date: May 27, 2011

ENERGY RETROFITS OF K-12 SCHOOLS STATE ENERGY PROGRAM

Eligible Applicants

Eligible applicants may include K-12 public school systems in Alabama.

Proposals

Each proposal submitted must contain one (1) original and two (2) copies.

Submission Information

All proposals must be received no later than 5:00 p.m., **May 27, 2011** at:

By Mail:

ADECA - Energy Division
P.O. Box 5690
Montgomery, AL 36103-5690

By Courier:

ADECA - Energy Division
Mailroom 404
401 Adams Avenue
Montgomery, AL 36104

Late Proposals

Proposals submitted after the due date will not be considered. The Energy Division reserves the right to reject any incomplete proposals without review.

Questions

Questions pertaining to this RFP may be submitted by email or fax to Karl Frost, SEP Program Manager, at karl.frost@adeca.alabama.gov or (334) 242-0552.

Please keep a complete copy of your proposal (including a copy of all completed and signed attachments) for your records.

This 'Request for Proposal' does not indicate acceptance or approval of any proposal in response to this request. No grant or contract payment can be made until a grant agreement has been fully executed. Therefore, no work shall begin on projects selected for funding until an executed grant agreement has been received. All grant awards are contingent upon state receipt of federal funds awarded.

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PART I – FUNDING OPPORTUNITY DESCRIPTION

A. Summary

The American Recovery and Reinvestment Act of 2009 (ARRA), Pub. L. 111-5 appropriated funding for the U. S. Department of Energy (DOE) to issue/award formula-based grants under the State Energy Program (SEP). The Alabama Department of Economic and Community Affairs (ADECA) - Energy Division manages the State Energy Program for Alabama by authority of DOE.

Projects under this Request For Proposals (RFP) will be funded, in whole or in part, with funds appropriated by the ARRA for the SEP. The primary purposes of the ARRA are to stimulate the economy and to create and retain jobs. The ARRA gives preference to activities that can be started and completed expeditiously. Accordingly, special consideration will be given to projects that promote and enhance the objectives of the ARRA, especially job creation, preservation and economic recovery, in an expeditious manner.

The Energy Division is soliciting proposals from public school systems in Alabama for the purchase and installation of energy-efficient improvements in K-12 schools located within their jurisdiction. Energy efficiency improvements eligible for funding include the following:

- Insulation
- HVAC replacement
- Lighting upgrade
- Lighting controls
- Energy Management systems

Applicants must provide documentation that a minimum of sixty percent (60%) of students in the system are eligible to receive free or reduced price lunch. The optimal payback period for each retrofit should be 10 years or less.

B. Project Goals

Proposals submitted in response to this solicitation should, to the maximum extent feasible, incorporate both the goals and objectives of the SEP and the ARRA. Each goal or objective area should be addressed and briefly discussed as it relates to proposed activities.

Specific SEP or ARRA goals or objectives addressed by a proposal warrant a broader discussion of how the proposed project will impact such goals or objectives and produce outcomes that can be reported using recommended metrics.

Proposals should be developed with thoughtful consideration being given to the applicable quarterly and annual reporting requirements contained in Part V and special ARRA outcomes in Section C below.

The goals established for the SEP are:

1. Increase energy efficiency to reduce energy costs and consumption for consumers, businesses and government.
2. Reduce reliance on imported energy.

3. Improve the reliability of electricity and fuel supply and the delivery of energy services.
4. Reduce the impacts of energy production and use on the environment.

The ARRA was enacted to preserve and create jobs and promote economic recovery; to assist those most impacted by the recession; to provide investments needed to increase economic efficiency by spurring technological advances in science and health; to invest in transportation, environmental protection, and other infrastructure that will provide long-term economic benefits; and, to stabilize state and local government budgets, in order to minimize and avoid reductions in essential services and counterproductive state and local tax increases.

C. Special Reporting Requirements

Please review the reporting and project requirements listed under **Part V** of this solicitation, all programs and projects funded under this solicitation must report on specific ARRA requirements during the grant period.

PART II – AWARD INFORMATION

A. Estimated Funding

Approximately \$300,000 is available for the Energy Efficient Retrofits of K-12 School Program.

B. Maximum Award Size

The maximum amount requested for each proposal submitted under this announcement is \$100,000.

C. Anticipated Number of Awards

The Energy Division expects to make three awards. However, additional awards may be made from proposals submitted under this solicitation if additional funds become available.

D. Period of Performance

The Energy Division anticipates awarding grants to begin July 1, 2011 and to terminate no later than March 1, 2012, for an amount not to exceed the amount requested by the Offerer or that which is negotiated between the selected Offerer and the Energy Division.

E. Method of Payment

Payments shall be made on a cost-reimbursement basis over the course of the grant.

F. Prohibited Expenditures

State Energy Program Regulation 10 CFR Part 420 does not allow expenditures or matching funds for the following:

- For construction, such as construction of mass transit systems and exclusive bus lanes, or for construction or repair of buildings or structures;
- To purchase land, a building or structure or any interest therein;
- To subsidize fares for public transportation;
- To subsidize utility rate demonstrations or state tax credits for energy conservation or renewable energy measures; or
- To conduct or purchase equipment to conduct research, development or demonstration of energy efficiency or renewable energy techniques and technologies not commercially available.

G. Limitations

There is no limitation on the percentage of funding that may be used for the purchase and installation of equipment and materials for energy efficiency measures and renewable

energy measures. No limitations provided under Part D of Title III of the Energy Policy and Conservation Act (42 U.S.C. 6321 et seq.) shall apply to assistance provided under this solicitation.

H. Terms and Conditions

Be advised that special terms and conditions may apply to projects funded by the ARRA relating to:

- Reporting, tracking and segregation of incurred costs;
- Reporting on job creation and preservation;
- Publication of information on the Internet;
- Prohibition on use of funds for gambling establishments, aquariums, zoos, golf courses or swimming pools;
- Ensuring that the environment is not adversely effected (**NEPA**);
- Ensuring that historical sites or properties are not adversely effected (**NHPA**);
- Ensuring that iron, steel and manufactured goods utilized in these products are produced in the United States (**Buy American**);
- Ensuring wage rates are comparable to those prevailing on projects of a similar character (**Davis-Bacon**);
- Protecting whistleblowers and requiring prompt referral of evidence of a false claim to an appropriate inspector general; and
- Certification and registration.

These special terms and conditions will be based on provisions included in Titles XV and XVI of the ARRA. The exact terms and conditions will be developed by DOE.

Be advised that ARRA funds may be used in conjunction with other funding as necessary to complete projects, but tracking and reporting must be separate to meet the reporting requirements of the ARRA and related OMB Guidance. Applicants for projects funded by sources other than the ARRA should plan to keep separate records for the ARRA funds and ensure those records comply with the requirements of the ARRA. Funding provided through the ARRA that is supplemental to an existing grant is one-time funding.

Please refer to Part V of this solicitation for more information on reporting requirements.

I. Cost Matching

Cost match is not required for grants made with ARRA funds. However, the ARRA and the Energy Division strongly encourage proposals that achieve a high degree of leveraging, and/or projects that extend the impact of the funds. Additional consideration will be given to projects that meet these criteria. In addition, preference will be given to projects that are self-sustaining and to proposals that are accompanied with a discussion of said sustainment.

PART III – PROPOSAL CONTENTS

Each proposal submitted must contain one (1) original and two (2) copies of the following documents:

A. Letter of Transmittal

The letter of transmittal must include the following:

1. A brief statement of the work to be performed.
2. The total cost of the project.
3. A statement assuring that the person signing the letter is authorized to bind the offer presented in the letter and accompanying proposal.

B. Free or Reduced Lunch Documentation

Applicant must provide documentation that a minimum of sixty percent (60%) of students in the system are eligible to receive free or reduced price lunch. Percentage should be based on system-wide data; not on a single school.

C. Addendum A - *School Energy Improvement Application*

Each applicant must submit a School Energy Improvement Application (Addendum A). An Addendum A must be submitted for each requesting retrofits.

Notes:

- All fields on each line item **must be completed** to be considered.
- Only measures with an estimated payback period of **10 years or less** will be considered.

D. Attachments

These attachments can be found on our website at www.adeca.alabama.gov/C7/FormsPubs

Attachment A - *Project Budget*

The Project Budget should outline the expenditures for the project. Please reference Attachment "B" for a description of budget categories. Proposal preparation costs are not reimbursable.

Attachment B - *Budget Narrative*

The Budget Narrative should include a detailed explanation of the expenditures outlined in your Project Budget.

Attachment C - *State of Alabama – Disclosure Statement*

Alabama Act 2001-955 requires the Vendor Disclosure Statement to be completed and filed with all proposals, bids, contracts, and grant proposals to the State of Alabama in excess of \$5,000. Complete all lines as indicated. If

an item does not apply, denote 'N/A' (not applicable). If you cannot include required information in the space provided, attach additional sheets as necessary. **The form must be signed, dated, and notarized.**

Attachment D - Offerer/Proposer Information

The Offerer must submit an Offerer/Proposer Information Form to properly indicate organization and contact information of the individuals involved in the project.

Attachment E - W-9 Request for Taxpayer Identification Number and Certification

A completed and signed W-9 Request for Taxpayer Identification Number and Certification Form must accompany the proposal. Only the Rev. January 2011 version will be accepted.

Attachment F - Immigration Status

A declaration that all workers on this project are either citizens of the United States or are in a proper and legal immigration status that authorizes them to be employed for pay within the United States. This should be signed by the applicant.

Attachment G - Assurance of Compliance – Nondiscrimination in Federally Assisted Programs

A declaration that the applicant agrees to assure that no person in the United States shall, on the ground of race, color, national origin, sex, age, or disability, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity in which the applicant receives Federal assistance from the U.S. Department of Energy.

Attachment H - Certifications

This form certifies matters regarding lobbying, debarment, suspension, and other responsibility matters including a drug-free workplace.

Attachment I - Assurance of Compliance - Davis/Bacon Act

A statement that the applicant agrees to ensure that all laborers and mechanics on projects funded directly by or assisted in whole or in part by and through funding appropriated by the ARRA are paid wages at rates not less than those prevailing on projects of a character similar in the locality as determined by Subchapter IV of Chapter 31 of Title 40, United States Code (Davis-Bacon Act). Additional information regarding Davis/Bacon is available at <http://www.dol.gov/esa/whd/programs/dbra/whatdbra.htm>

Attachment J – Standard Form - LLL Disclosure of Lobbying Activities

If applicable, complete Standard Form – LLL (SF-LLL). Applicability: If any funds other than federal appropriated funds have been paid or will be paid to

any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the grant/cooperative agreement, you must complete and submit SF–LLL “Disclosure Form to Report Lobbying.”

PART IV – PROPOSAL EVALUATION

Proposals shall be evaluated on the following criteria; therefore a concise discussion of each of these areas as they are applicable to the proposal is warranted. Poor performance implementing prior Energy Division grants may disqualify potential applicants from this solicitation.

Technical Criteria (40 points possible)

- How well the proposal combines the goals and objectives of both the SEP and the ARRA, and proposes the realistic accomplishment and key components of both and anticipated benefits in terms of:
 - Job creation and retention
 - Energy cost savings
 - Renewable energy development
 - Reduction of greenhouse gas emissions measured in CO equivalents
 - Increased energy efficiency
 - Reduction of reliance on imported energy
 - Reducing the impacts of energy production and use on the environment
- Proposed plan to complete the project in an expeditious manner with a detailed description of deliverables and timelines for task completion
- Potential for sustainability and ability to extend the impact of funds provided
- Qualifications and experience of Offerer in proposed project and experience conducting similar programs or previous performance implementing prior grants with the Division.

Cost Criteria (20 points possible)

- Budget for proposed project is appropriate and reasonable
- Cost breakdown for each proposed task on "Addendum A"
- Degree of leveraging albeit not required.

Program Specific (40 points possible)

- List of tasks to be performed with realistic time estimates for each work task on "Addendum A"
- Proper documentation that at least 60% of the student body for the entire system qualifies for free or reduced lunch was provided with application.
- Description of each element to be accomplished
- Clearly defined, quantifiable and measurable task elements, with clearly stated goals and objectives
- Suitability of proposed energy improvements for application and description of each energy improvement to be accomplished including cost, savings, and payback

SEP-ARRA Proposal Review Sheet

Category: **Energy-Efficient Retrofits of Schools**

Reviewer:

Proposer:

Date:

Requested Budget: \$

I. Technical Criteria (40 possible points)

	Score	Possible
Extent of benefits relating to ARRA & SEP goals, how well the proposal combines the goals and objectives of both, and proposes the realistic accomplishment and key components of both. <i>ARRA Goals: job creation and retention, energy savings, renewable energy development, reduction of greenhouse gas emissions measured in CO2 equivalents</i> <i>SEP Goals: energy cost savings, increased energy efficiency, reduction of reliance on imported energy, improving the reliability of electricity and fuel supply and the delivery of energy services, and reducing the impacts of energy production and use on the environment.</i>		<u>15</u>
Proposed plan to complete the project in an expeditious manner. Detailed description of deliverables and time lines for task completion during grant period (July 1, 2011 – March 1, 2012)		<u>10</u>
Potential for sustainability and the ability to extend the impact of funds provided		<u>5</u>
Qualifications and experience of Offerer in proposed project and experience conducting similar programs or previous performance handling prior grants with the Division.		<u>10</u>

II. Cost Criteria (20 possible points)

Appropriateness for project and cost breakdown for each proposed task.		<u>10</u>
Cost breakdown for each proposed task on "Addendum A"		<u>5</u>
Degree of leveraging for proposed project		<u>5</u>

III. Program Specific (40 possible points)

List of all tasks to be performed with realistic time estimates for each work task on "Addendum A"		<u>10</u>
Documentation that at least 60% of the student body for the entire system qualifies for free or reduced lunch.		<u>10</u>
Description of each element to be accomplished. Task elements should be quantifiable, clearly defined, and measurable; clearly stated goals and objectives.		<u>10</u>
Suitability and description of each energy improvement to be accomplished including cost, savings, and payback. Optimal payback period of building retrofits is 10 years or less on "Addendum A"		<u>10</u>
Total Points:		<u>100</u>

NOTES:

PART V – AWARD ADMINISTRATION INFORMATION FOR SELECTED PROPOSALS

A. Monthly Reports

The Energy Division will provide additional information on reporting requirements for selected proposals. In addition to standard management and financial reporting requirements, the following information will be required in monthly program status reports as appropriate and applicable to the proposed project:

Expenditures

- Expenditures for project activities
- Expenditures for administration
- Leveraged funds

Building Retrofits

- Number of buildings retrofitted, by sector
- Square footage of buildings retrofitted, by sector

Government, School, Institutional Procurement

- Number of units purchased, by type (e.g. vehicles, office equipment, HVAC equipment, streetlights, exit signs)

Job Creation

- Hours worked through Recovery Act Funds

B. Final Report

The Energy Division will provide additional guidance on reporting requirements. In addition to standard management and financial reporting requirements, the following information will be required in a final report as appropriate and applicable to the proposed project:

Energy Cost Savings

- Dollars Saved

Energy Savings

- Annual reduction in natural gas consumption (mmcf)
- Annual reduction in electricity consumption (MWh)
- Annual reduction in electricity demand (MW)
- Annual reduction in fuel oil consumption (gallons)
- Annual reduction in propane consumption (gallons)
- Annual reduction in gasoline and diesel fuel consumption (gallons)

Emissions Reductions

- Amount of green house gases reduced (CO2 equivalents)
- Amount of criteria air pollutants reduced (tons)

C. Other Requirements

Selected proposals must submit all documentation required by the following to the Energy Division **prior to installation.**

NEPA

All Projects receiving financial assistance from DOE will be reviewed under the National Environmental Policy Act (NEPA) of 1969 – 42 U.S.C. Section 4321 et seq. Most projects under this solicitation will be categorically excluded from environmental assessment. The Energy Division will notify you in the event your project will require a full environmental assessment. Proposals should include a discussion of anticipated environmental impacts as described online at https://www.eere-pmc.energy.gov/NEPA_Act.aspx.

HISTORIC PRESERVATION

All Projects receiving financial assistance under this solicitation must obtain written approval from the Alabama Historical Commission (AHC) or be declared exempt under the Programmatic Agreement between the Energy Division and AHC. Please visit the Alabama Historical Commission website at the following link: <http://www.historical.alabama.gov/106program.aspx> for more information on NHPA Section 106 requirements. If a facility is over 50 years of age and you have any questions regarding the possible exemption of planned retrofits, please contact the ADECA Energy Division.

BUY AMERICAN

All Projects receiving financial assistance under this solicitation must submit proper documentation that all materials used in the installation of retrofits adhere to Section 1605 of the American Recovery and Reinvestment Act of 2009. The Buy American provision requires that all iron, steel, and manufactured goods used are produced in the United States.

ALABAMA BUILDING COMMISSION

All Projects receiving financial assistance under this solicitation must obtain and submit written approval from the Alabama Building Commission. In order to ensure compliance with ARRA funding requirements, the Building Commission requires all state agencies to identify ARRA-funded projects for the construction, alteration, maintenance or repair of public buildings or public works.

DAVIS-BACON

All laborers and mechanics on projects funded directly by or assisted in whole or in part by and through funding appropriated by the ARRA must be paid wages at rates not less than those prevailing on projects of a character similar in the locality as determined by Subchapter IV of Chapter 31 of Title 40, United States Code (Davis-Bacon Act). Wage determinations must be included in all bid solicitations. Current wage determinations can be found at <http://www.wdol.gov/dba.aspx>. In addition, all projects utilizing contracted labor must submit notarized original weekly certified payrolls within 10 days of the end of the each work week to the Energy Division. Additional information regarding Davis/Bacon is available at <http://www.dol.gov/esa/whd/programs/dbra/whatdbra.htm>.

ENERGY STAR PORTFOLIO MANAGER

Implement the agency-wide use of ENERGY STAR Portfolio Manager. Portfolio Manager is an interactive energy management tool that allows you to track and assess energy and water consumption across your entire portfolio of buildings in a secure online environment. Additional information regarding ENERGY STAR Portfolio Manager is available at http://www.energystar.gov/index.cfm?c=evaluate_performance.bus_portfoliomanager.

D. Procurement

All projects receiving financial assistance must follow proper procedures as stated in 10 CFR Part 600 and its applicable subparts or appendices, and the Alabama Competitive Bid and Public Works Laws. In addition, all contractors must utilize best commercial practices in obtaining subcontractors. All provisions associated with the American Recovery and Reinvestment Act are applicable at every tier of procurement and should “flow down” to all contractors and subcontractors.

PART VI – OTHER INFORMATION

A. Right to Reject

The Energy Division reserves the right to reject any and all proposals submitted and to request additional information from all Offerers. The Energy Division reserves the right to award a grant on an "all or none" basis or to award a separate grant or no grant for each work element. Any grant award will be made to the organization which, in the opinion of the Energy Division, is determined to be the best qualified and whose proposal best meets the needs of the Energy Division. The Energy Division reserves the right to negotiate with any Offerer(s). The Energy Division reserves the right to reallocate funding for subject areas as deemed necessary. All grant awards are subject to state receipt of federal funds awarded.

B. Proprietary Information

The information contained in the proposals will be public information unless a specific request is made to keep specific information confidential. If a proposal contains any information that the Offerer does not wish to have disclosed to the public or used by the Energy Division for any purpose other than evaluation of the offer, each sheet of such information must be clearly marked "proprietary." This information will be kept confidential, subject to applicable state and federal laws. Proposals and supporting materials submitted shall become the property of the Energy Division.